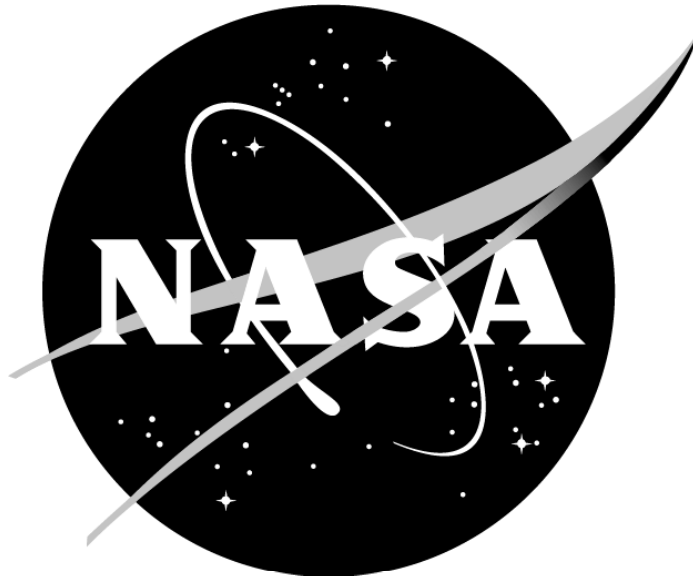


Responsible Office: Code H/ Office of Procurement  
Subject: Review & Approve Documents



Office of Procurement

Office Work Instruction

## Review and Approve Documents

Original Approved by: Thomas S. Luedtke  
Associate Administrator for Procurement

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## DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		01/10/00	
Revision	A	04/10/00	Modified flowcharts and text to enhance clarity (non-substantive changes). Changed symbology to align with recommendations in HCP 1400-1. Modified the numbering of process steps. Added process block 6.7. Removed "MBP Database" references from the OWI.

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## **1. Purpose**

The purpose of this OWI is to define the procedure for Headquarters Office of Procurement (Code H) inquiry response and review/comment and/or approval of documents.

## **2. Scope and Applicability**

- 2.1 This OWI applies to all Center procurement documents submitted for Code H review and approval (e.g. Letter contract reviews, deviation requests, Prenegotiation Plans, Justifications for Other Than Full and Open Competition, Solicitation reviews, Acquisition Strategy Meetings), as well as correspondence and requests for review or coordination from any source that requires a documented Code H response (e.g., requests for comments on proposed legislation, inquiries from a Center or the general public, OMBUDSMAN actions). Correspondence/inquiries not covered by this OWI are those that relate to requests for routine information, e-mail or oral communications within the Agency or with the general public of a routine nature. Actions under NODIS are also specifically excluded from this OWI. The Code H Division Directors, in consultation with the Team Leaders and Analysts make the decision as to whether an action falls under this OWI.
- 2.2 A sub flow under this OWI covers Master Buy Plan (MBP) Procedures. The MBP system provides for review of annual MBP submission, and amendments, to determine which procurement documents should be selected for review at the Headquarters or delegated to the NASA Centers. MBP procedures are covered in the NASA FAR Supplement (NFS) at 1807.7100.

## **3. Definitions**

- 3.1 Acquisition Strategy Meeting (ASM). The ASM is an acquisition plan conducted through a meeting attended by all interested NASA offices. At the meeting, the acquisition plan topics and structure specified in the FAR and NFS are presented in briefing format, and formal written minutes are prepared to summarize the decisions, actions, and conclusions of the ASM participants. The approved minutes are included in the official contract file to document the completion of the acquisition plan required by the FAR. Procedures are detailed in FAR and at NFS Subpart 1807.1. The NASA procurement library on the World Wide Web also contains a Guide for Successful Headquarters ASMs.

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- 3.2 Final Response Package. The Final Response Package will contain as a minimum: (a) the incoming document/inquiry/request (b) concurrence record (if any concurrences are required) (c) the file copy of the approval or response (if oral response is provided the "file copy" is considered to be a memo or log update reflecting the verbal response) (d) evidence of approval by the approving official, e.g., signature on transmittal letter, initials on transmittal sheet, etc. The package may also include a Memorandum for Record or other pertinent data.
- 3.3 Master Buy Plan (MBP). The MBP is a NASA System that provides information on planned acquisitions to enable management to focus attention on a representative selection of high-dollar-value and otherwise sensitive acquisitions. The procedure is addressed in NFS Subpart 1807.71.
- 3.4 Master Buy Plan (MBP) Disposition Letter Package. The final disposition letter package will contain (a) a copy of the Center MBP submission of yearly plan or amendments (b) concurrence record and rationale for selection or delegation decision (c) the file copy of the approved disposition letter to the Center. Package for amendments should also contain an MFR from the analyst providing rationale for selection/delegation decisions.
- 3.5 Meeting Approval Package. The Meeting Approval Package consists of: (a) Meeting Request/Agenda (b) charts or briefing materials received from the Center (c) Concurrence Record (d) Final Meeting Output Package with evidence of approval.
- 3.6 Meeting Output Package. For an ASM the output package consists of the minutes of the meeting including any action items. The output of an SRB is an approval/disapproval of release of the solicitation, together with any recommendations or suggestions for changes. The output a Source Selection Briefing is a signed selection statement by the Source Selection Official. All of these outputs are transmitted back to the Center through the approving official.
- 3.7 Memorandum For Record (MFR). An MFR may be included in files to provide a narrative description to support the Analyst's recommendations. The MFR should (a) identify the action with a short description and any pertinent background information (b) indicate when the document or inquiry was received at HQ and when it was distributed to other offices for coordination/comment (identify offices by Code) (c) indicate any meetings that took place and the results (d) identify any comments received and discuss any major issues and describe how all were resolved (e) identify

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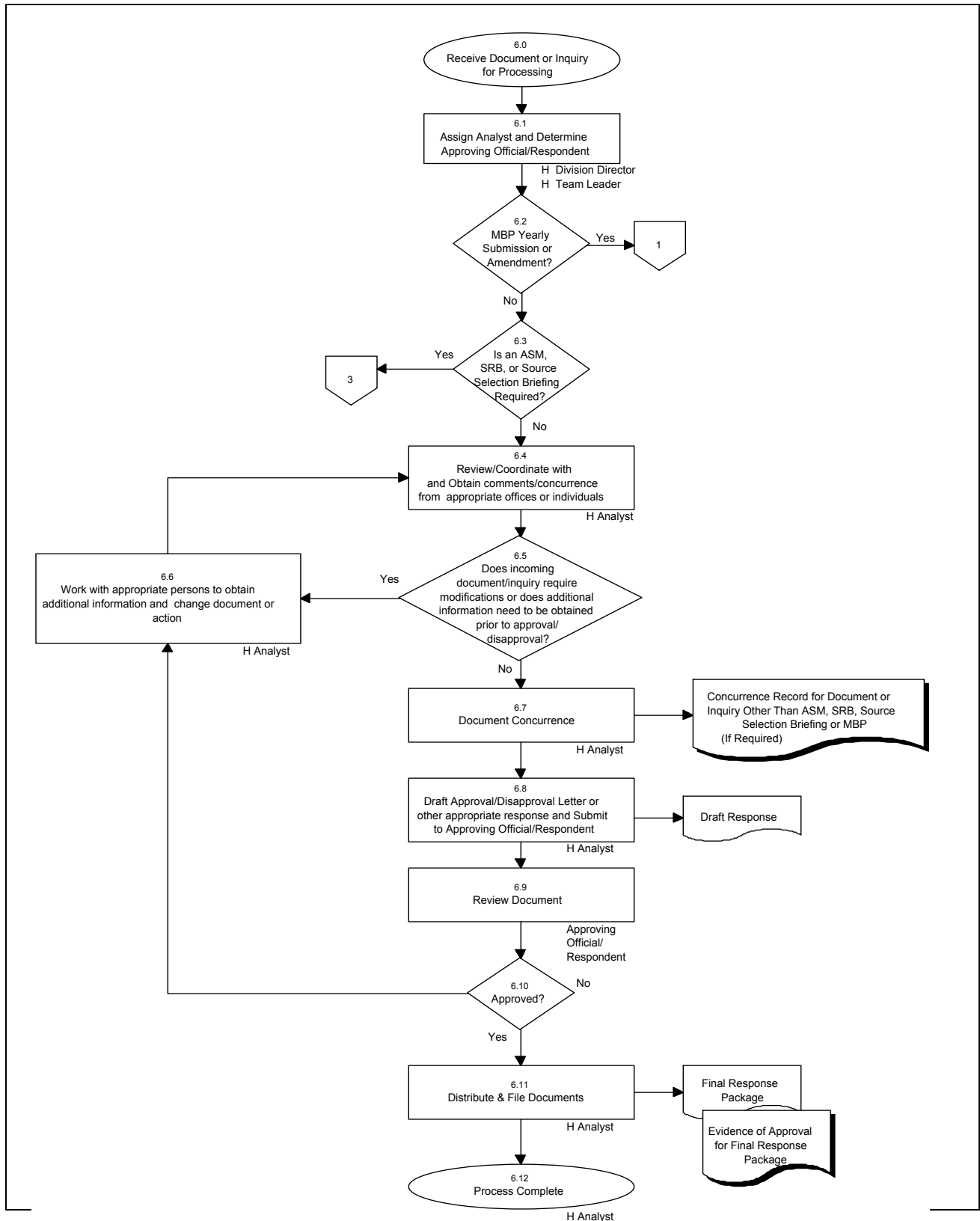
- any changes made to the document as a result of HQ review (f) provide recommendation to the approving official as to the disposition of the action.
- 3.8 Solicitation Review Board (SRB). SRBs are meetings held at NASA Headquarters to review solicitations selected under MBP procedures. The purpose of an SRB is to determine if the solicitation complies with regulation and statute, is clearly written, provides for meaningful competition and is legally sufficient.
- 3.9 Source Evaluation Board (SEB). A board convened to select a source or sources for a NASA acquisition.
- 3.10 Source Selection Briefing. Briefing held at Headquarters to make final source selection (part of the SEB process).
- 3.11 Source Selection Authority (SSA). The SSA is the senior agency official responsible on a particular acquisition for proper and efficient conduct of the source selection process and for making the final source selection decision.
- 3.12 U Drive. The U Drive is a Code H shared network drive located at - Code\_h on 'Hqdata2' (u:)

#### **4. References**

- 4.1 NPG 1000.2 NASA Strategic Management Handbook
- 4.2 Federal Acquisition Regulation (FAR)
- 4.3 NASA FAR Supplement (NFS)
- 4.4 NHB 1450.10, NASA Correspondence Standards
- 4.5 NASA Procurement Library (World Wide Web)
- 4.6 "Code HS Approval Authorities and Coordination Requirements" on the U Drive - Code\_h on 'Hqdata2' (u:)
- 4.7 NPG 7120.5, NASA Program Project Management Process and Requirements
- 4.8 "Code HS Filing System" on the U drive - Code\_h on 'Hqdata2' (u:)

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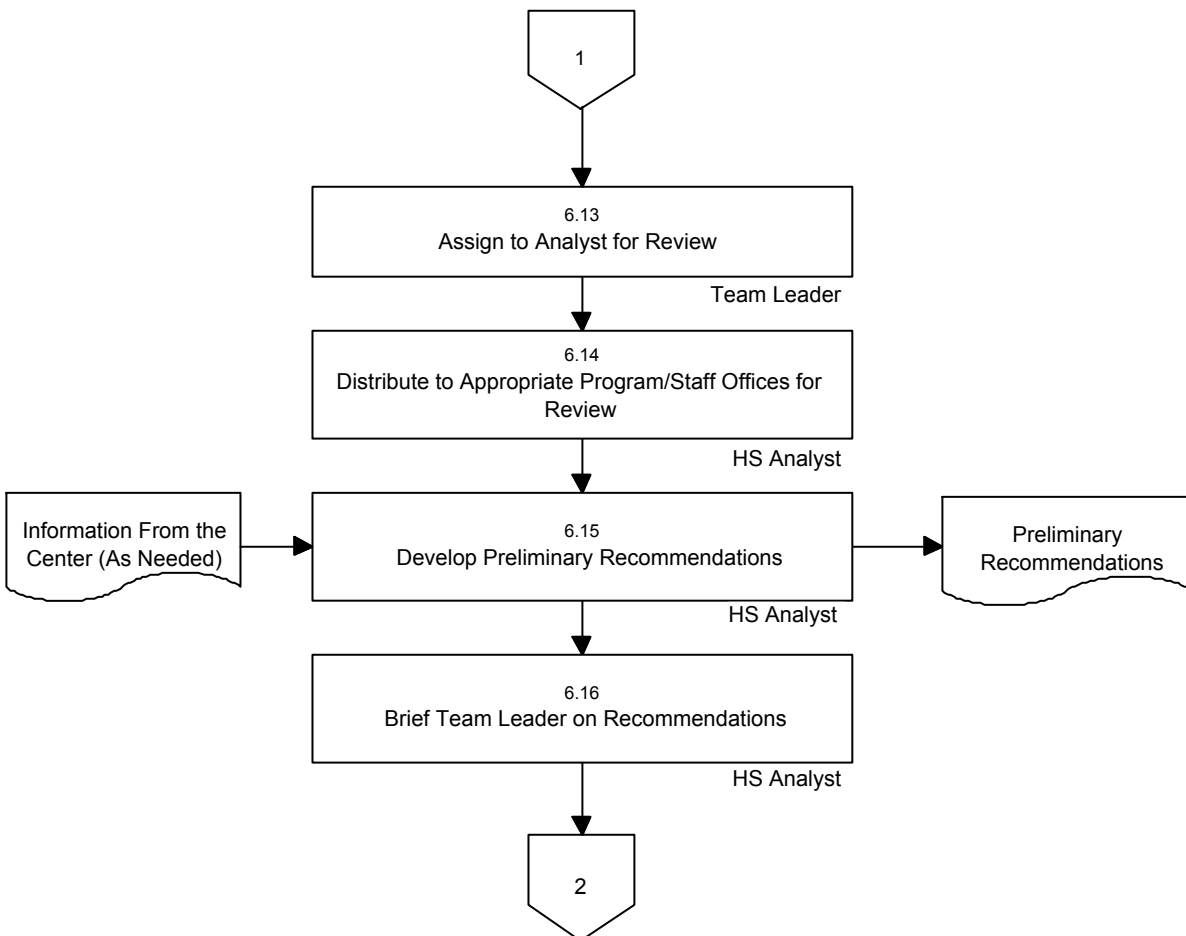
## 5. Flowchart



CHECK THE MASTER LIST at <http://hqiso9000.hq.nasa.gov>  
 TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

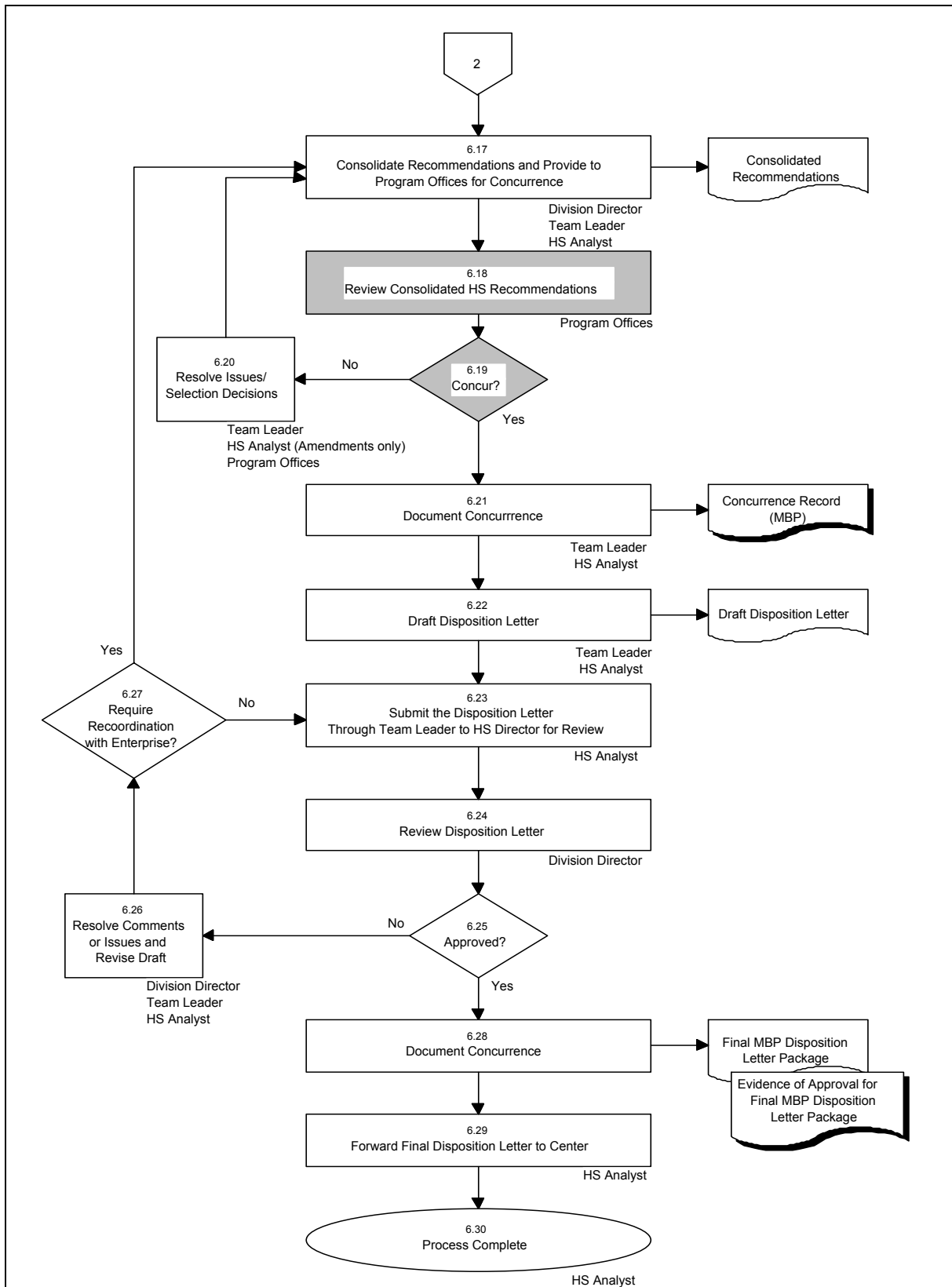
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## Flowchart – continued



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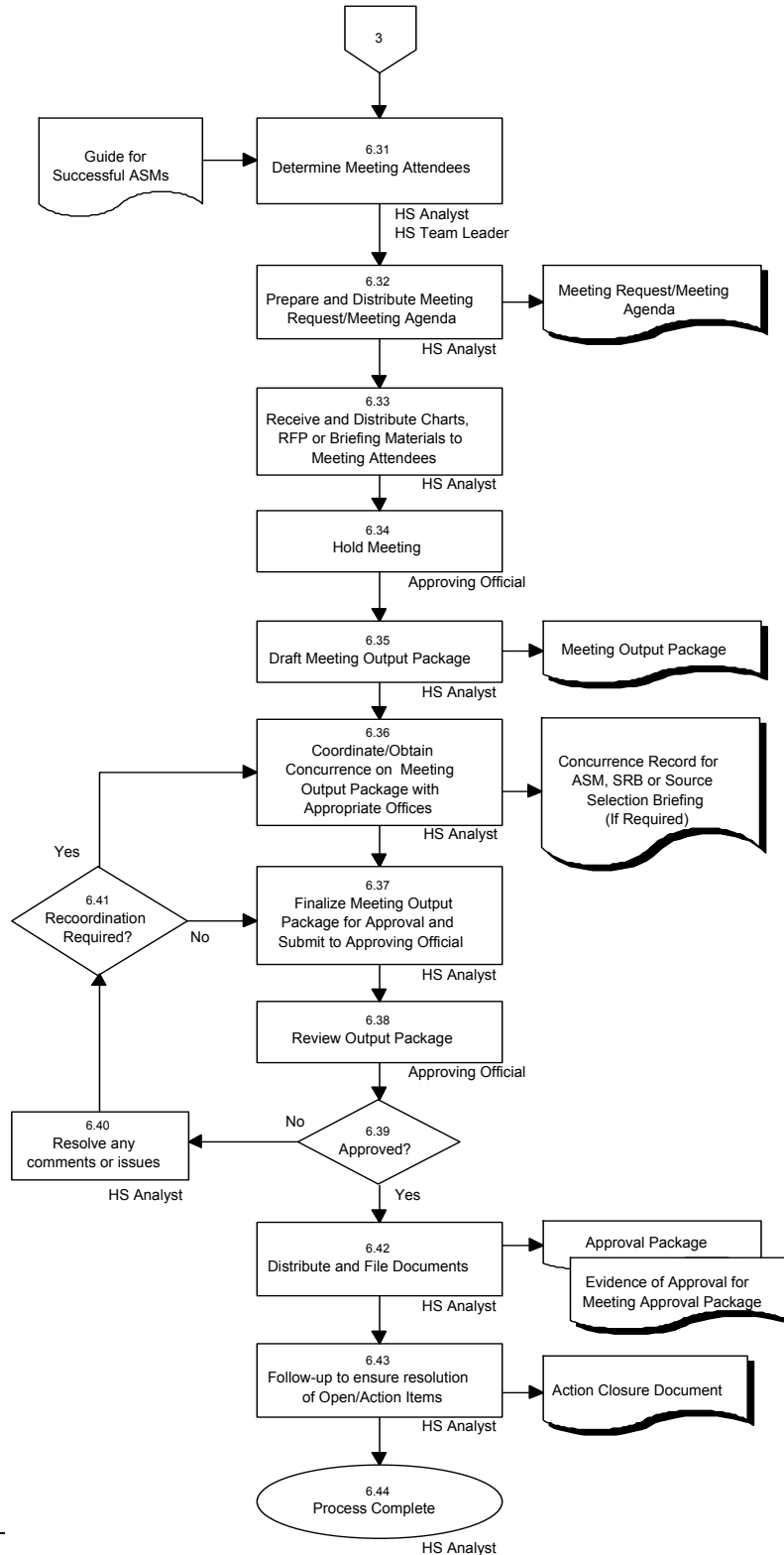
## Flowchart – continued





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## Flowchart – continued



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## 6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0		Code H receives document or inquiry for processing. Examples include: (a) submission of a request for proposal for Headquarters (HQ) review and approval of release (b) request for review and comment on legislation from another HQ code (c) submission of a FAR or NFS deviation for approval (d) an inquiry or request for information from any source that requires a documented Code H response. The foregoing is not an exhaustive list and this OWI encompasses a wide range of actions throughout Code H.
6.1	H Division Director or H Team Leader	Assign the action to an analyst based on analyst availability and area of expertise, and determine what kind of response is required, who the Respondent or Approving Official will be, and whether an MFR will be required to support the final approval/response. For many actions, approval and concurrence requirements are prescribed in FAR or the NFS. For Code HS, there is a summary matrix of Approving Officials/Concurrence Requirements for many recurring actions on the U Drive.
6.2	H Division Director or H Team Leader	Determine if the action is a Master Buy Plan (MBP) action. If action is a yearly MBP submission or amendment it should be provided immediately to Code HS. Follow off-page connector #1 to the sub flow OWI that details the MBP procedure.
6.3	H Division Director or H Team Leader	Determine if the action is an Acquisition Strategy Meeting (ASM), Solicitation Review Board (SRB), or a Source Selection Briefing. These are all Code HS actions and are submitted by the Centers pursuant to the MBP process. If the action is an acquisition strategy meeting, follow off-page connector #3.
6.4	H Analyst	Review/coordinate with and obtain hardcopy comments/concurrence from appropriate offices or individuals. For some actions, coordination and concurrence requirements are provided in the FAR or NFS. In other instances, the analyst (in consultation with Team Leaders and/or Division Directors) must determine coordination/concurrence requirements based on experience and knowledge of individual actions and their relationship to other Headquarters offices. For Code HS, there is a summary matrix of

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		Approving Officials/Concurrence Requirements for many recurring actions on the U Drive.
6.5	H Analyst	Review the document or inquiry to determine if it is sound and appropriate for its purpose and whether any modifications are required or additional information is needed, prior to submitting for approval/disapproval or response.
6.6	H Analyst	Work with appropriate persons to make modifications to document or action, obtain any additional information required, and perform any additional coordination necessary. ALL VERBAL CONCURRENCES SHOULD BE DOCUMENTED IN WRITING BY THE ANALYST FOR INCLUSION IN THE FINAL RESPONSE PACKAGE.
6.7	H Analyst	Document concurrence.
6.8	H Analyst	Draft Approval/Disapproval Letter or other response and submit to approving official/Respondent. For Code HS, the response may be supported by a Memorandum for Record (MFR) prepared by the HS Analyst, except for non-complex or self explanatory actions – provided the Team Leader agrees that an MFR is not required. The MFR should (a) identify the action with a short description and any pertinent background information (b) indicate when the document or inquiry was received at HQ and when it was distributed to other offices for coordination/comment (identify offices by Code) (c) indicate any meetings that took place and the results (d) identify any comments received and discuss any major issues and describe how all were resolved (e) identify any changes made to the document as a result of HQ review (f) provide recommendation to the approving official as to the disposition of the action.
6.9	Approving Official or Respondent	Review Document to determine if response is appropriate or approvals are being provided in accordance with statute and regulation (e.g., FAR or NFS).
6.10	Approving Official or Respondent	Approve or disapprove document or response.
6.11	H Analyst	Distribute Approval/Disapproval/Response to original submitter and other interested parties, and file documents. The FINAL RESPONSE PACKAGE will contain as a minimum (a) the incoming document/inquiry/request (b) Concurrence record (if any concurrences are required) and (c) file copy of the

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		RESPONSE (if oral response is provided the "file copy" is considered to be a memo or log update reflecting the verbal response) (d) evidence of approval by the approving official, e.g., signature on transmittal letter, initials on transmittal sheet, etc.. The FINAL RESPONSE PACKAGE may also include an MFR or other pertinent data.
6.12	H Analyst	The process is complete.
		<b><u>MASTER BUY PLAN SUB-FLOW</u></b>
6.13	Team Leader	Assign to analyst for review based on analyst availability and area of expertise.
6.14	HS Analyst	Distribute to Appropriate Program Offices (offices having cognizance over the Center submitting the MBP item) for review. At this time, an information copy is also provided to the Office of Small and Disadvantaged Business Utilization (Code K).
6.15	HS Analyst	Review the MBP Item(s) and work with Program Office counterparts to develop preliminary recommendations. Review considerations may include the dollar amount of the procurement, program sensitivity, type of procurement action (contract, change order, overrun, etc.), who the source selection Official will be (Center or HQ) and whether or not actions from a specific Center have/have not been selected from prior MBP submissions. The analyst may need to contact personnel at the Center if they require any additional information to help them understand the nature of the procurement.
6.16	HS Analyst	Brief Team Leader on recommendations. The recommendations will consist of selection/delegation decisions for each action applicable to each MBP item, together with a rationale as to the selection/delegation decision.
6.17	Division Director Team Leader HS Analyst	Consolidate recommendations and provide to Program Offices for hardcopy concurrence.
6.18	Program Offices	This occurs outside the scope of this OWI.
6.19	Program	This occurs outside the scope of this OWI.

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	Offices	
6.20	Team Leader HS Analyst Program Offices	Resolve any issues/selection decisions through meetings, email, letters, telecons, etc. Verbal agreements should be documented in writing for the record.
6.21	Team Leader HS Analyst	Document concurrence in writing for the record.
6.22	Team Leader HS Analyst	Draft disposition letter. For the yearly plan disposition, the letter is drafted by the Team Leader. For amendments to the yearly plan, the letter is drafted by the analyst. On amendments, the disposition letter should also be accompanied by a Memorandum For Record (MFR), which should include sufficient information to provide the concurring and approving officials with a complete understanding of the procurement action and the rationale for the analyst's recommendations.
6.23	HS Analyst	Submit the disposition letter through team leader to HS Director for review.
6.24	Division Director	Review disposition letter. In approving the letter, the Division Director reviews to ensure that the selection decisions match the decisions coordinated with the program codes and that all items are properly dispositioned.
6.25	Division Director	Provide approval or comments.
6.26	Division Director Team Leader HS Analyst	Resolve comments or issues and revise draft letter (if necessary). Comments are normally resolved through informal discussions.
6.27	HS Analyst or Team Leader	Determine if recoordination is required. This is determined by the analyst and team leader based on the nature of any changes required prior to approval. Changes to selection decisions made after coordination with the Program codes normally have to be reCOORDINATED.
6.28	HS Analyst	Document concurrence in writing for the record.
6.29	HS Analyst	Forward final disposition letter to Center.
6.30	HS Analyst	Process complete.

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		<b><u>ASM, SRB, OR SOURCE SELECTION BRIEFING SUB-FLOW</u></b>
6.31	HS Analyst HS Team Leader	<p>Determine meeting attendees. For all of these meetings, required attendees include representatives from the Enterprise/Program office responsible for the acquisition and the Office of the General Counsel. Also, the analyst should invite a representative from the Office of Safety and Mission Assurance to all meetings (although they are not considered a required attendee). Other offices at the Headquarters are invited to participate based on the nature of the acquisition, support offices interest in the acquisition or the Analyst's or Team Leader's judgement and experience. For example, for an ASM or a Source Selection Briefing a representative list of attendees includes:</p> <p><u>HEADQUARTERS:</u>          Office of Procurement          Program/Enterprise Office (Codes M, R, S etc.)          Office of General Counsel          Comptroller          Safety and Mission Assurance          Property and Facilities          Office of Small &amp; Disadvantaged Business Utilization</p> <p><u>CENTER:</u>          Project Office          Procurement Office</p> <p>An SRB is similar except that Center personnel do not attend.</p> <p>A "Guide for Successful Headquarters ASMs" is maintained in the NASA Procurement Library on the World Wide Web.</p>
6.32	HS Analyst	<p>Prepare and distribute Meeting Request/Agenda. This can be either hard copy or electronic and minimally consists of the meeting request but could also include a more detailed agenda. For the ASM and Source</p>

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		Selection Briefing this is done in conjunction with Center personnel – since they will attend and provide the major portion of any presentation. A hardcopy of the meeting request/agenda is kept as a quality record.
6.33	HS Analyst	Receive and Distribute material for the meeting. For an ASM the goal is to have the Center submit Charts at least 2 weeks prior to the meeting. For an SRB the Center will submit 10 copies of the Request for Proposal (RFP). For a Source Selection Briefing the Center provides briefing charts and a proposed selection statement is prepared by the Headquarters Office of General Counsel or designee for the Selection Authority to sign.
6.34	Approving Official	Hold meeting. The Approving Official is the Chairperson. The Code HS Analyst serves as the coordinator. As coordinator, duties include scheduling the meeting and the meeting room, distributing charts and materials and preparing the meeting output package.
6.35	HS Analyst	Draft meeting output package. The output of an ASM is the minutes – including any action items. The output of an SRB is an approval/disapproval of release together with any recommendations or suggestions for changes. The package should make clear the changes that are required prior to RFP release (as opposed to suggestions or non-mandatory recommendations). The output of a Source Selection Briefing is a signed selection statement by the Source Selection Authority. All of these outputs are transmitted back to the Center (hardcopy) through the approving official.
6.36	HS Analyst	Coordinate/obtain hardcopy concurrence on Meeting Output with appropriate Offices. Concurrence should be obtained from all codes that attended the ASM or SRB. Non-receipt of response to the analyst's request for comments/concurrence will be considered a concurrence. ALL VERBAL CONCURRENCES SHOULD BE DOCUMENTED IN WRITING BY THE ANALYST FOR INCLUSION IN THE FINAL RESPONSE PACKAGE. For a Source Selection Briefing, the SSA consults with the board members, and then signs the Selection Statement.
6.37	HS Analyst	Finalize Meeting Output Package and submit to approving official.

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6.38	Approving Official	Review output package. In approving the output package, the approving official reviews to ensure that the package accurately describes the content and results of the meeting or briefing. They are also ensure that any action items, recommendations or other decisions were sound and adequately supported in the package.
6.39	Approving Official	Approve or disapprove output package.
6.40	HS Analyst	If action is not approved the analyst will resolve any comments or issues. This can be accomplished in any numbers of ways from calling another meeting to resolving through email or telephone conversation.
6.41	HS Analyst	If recoordination is required to obtain approval, the HS analyst will recoordinate as necessary. Recoordination is required in instances where a change is made that affects meeting attendees.
6.42	HS Analyst	<b>Distribute documents to the Center and other interested offices, and file.</b> The APPROVAL PACKAGE to be filed consists of: (a) Meeting Request/Agenda (b) charts or briefing materials received from the Center (c) Concurrence Record (d) Final Meeting Output Package (e) evidence of approval by the approving official, e.g., signature on transmittal letter, initials on transmittal sheet, etc.. For Code HS, Filing system numbering is in the HS Filing System document posted on the U drive.
6.43	HS Analyst	The analyst is responsible for following up to ensure resolution of any Open/action items. These items are tracked by the individual analyst. Methods of closure of items vary depending on their level of significance and interest. Some can be closed with an email or telecon, others may be closed with a formal letter from the approving official. Closure of all items will be documented through either a formal letter(s) indicating closure of items or a memorandum(s) describing closure action taken. The closure document will be filed with the final meeting approval package.
6.44	HS Analyst	Process complete.



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## 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Concurrence Record (MBP)	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Evidence of Approval for Final MBP Disposition Letter Package	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Meeting Request/Meeting Agenda	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Meeting Output Package	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Concurrence Record for ASM, SRB or Source Selection Briefing	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Evidence of Approval for Meeting Approval Package	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Action Closure Document	Analyst	Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Concurrence Record for Document or Inquiry Other Than ASM, SRB, Source Selection Briefing or MBP	Analyst	For Code HS and HK: Code H Division Files  For Code HC: Office of Analyst or Code H Division Files	Hard Copy or Electronic	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.
Evidence of Approval for Final Response Package	Analyst	For Code HS and HK: Code H Division Files  For Code HC: Office of Analyst or Code H Division Files	Hard Copy	Schedule 5, Item 5 [5100]	Retain until reference value ceases; then destroy.